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SECOND REPORTING PROCESS ON UNCCD IMPLEMENTATION

EXPLANATORY NOTE AND HELP GUIDE

Affected country Parties of the Regional Implementation Annex for Asia

GE.01-66488

CONTENTS

Page

PART A 3

I. REPORTING PHASE 3

A. Background 3
B. Adjustment to the reports resulting from decision 1/COP.5 5
C. Adjustment to the reports resulting from other COP 5 decisions ... 8

II. REVIEW PROCESS 8

A. Organization of review process leading up to the first session of the CRIC 8
B. Organization of the first session of the CRIC 9

PART B 10

I. INTRODUCTION 10

A. Purpose of the exercise of formulating national reports 11
B. Possible process, to be adapted as needed in each national context 12
C. Reporting on UNCCD implementation at the subregional and regional levels 13
D. Synergy with similar processes 14
E. Submission modalities 14

II. METHODOLOGY 15

A. Proposed methodology 15
B. Detailed guidelines based on the format provided by the Conference of the Parties (decision 11/COP.1) 17
C. UNCCD profile system for national reports 37

Annexes

I. Legislative authority 38
II. Proposed process and work plan 51
III. Tentative format of UNCCD profile system for national reports ... 53

PART A

I. REPORTING PHASE

A. Background

1. In accordance with article 26 of the United Nations Convention to Combat Desertification (UNCCD), and the decisions of its Conference of the Parties (COP), particularly decision 11/COP.1, each Party to the Convention is required to communicate, through the UNCCD secretariat, reports on measures undertaken to implement the UNCCD.

2. Submissions from Parties dealing with the reporting and review exercise shall comply with the format and content of reports as outlined in decision 11/COP.1, paragraph 10 quoted below (ICCD/COP(1)/11/Add.1). Please note that section (a) refers to the format and content of reports by affected country Parties, (b) refers to the format to be used for reports on subregional and regional action programmes, and (c) refers to reports by affected developed country Parties not preparing action programmes.

(a) Reports on national action programmes

(i) A table of contents;

(ii) A summary not exceeding six pages;

(iii) The strategies and priorities established within the framework of sustainable development plans and/or policies;

(iv) The institutional measures taken to implement the Convention;

(v) The participatory process in support of the preparation and implementation of the action programme;

(vi) The consultative process in support of the preparation and implementation of the national action programme and the partnership agreement with developed country Parties and other interested entities;

(vii) The measures taken or planned within the framework of the national action programmes, including measures to improve the economic environment, to conserve natural resources, to improve institutional organization, to improve knowledge of desertification and to monitor and assess the effects of drought;

(viii) Financial allocations from national budgets in support of implementation as well as financial assistance and technical cooperation received and needed, identifying and prioritizing requirements;

(ix) A review of the benchmarks and indicators utilized to measure progress and an assessment thereof;

(b) Reports on joint, subregional and regional action programmes

(i) A table of contents;
(ii) A summary not exceeding six pages;
(iii) The areas of cooperation under the programme and measures taken or planned;
(iv) The consultative process in support of the preparation and implementation of the subregional or regional action programmes and the partnership agreement with developed country Parties and other interested entities;
(v) Financial allocations by affected country Parties of the subregion or region in support of implementation as well as financial assistance and technical cooperation received and needed, identifying and prioritizing requirements;
(vi) A review of the benchmarks and indicators utilized to measure progress and an assessment thereof;

(c) Reports of affected developed country Parties not preparing action programmes

(i) A table of contents;
(ii) A summary not exceeding six pages;
(iii) The strategies and priorities, within the framework of sustainable development plans and/or policies, to combat desertification and mitigate the effects of drought and any relevant information on their implementation.

3. On this basis, the secretariat, with the assistance of the United Nations Institute for Training and Research (UNITAR) and the Observatory of the Sahara and the Sahel (OSS), and with contributions from the United Nations Environment Programme (UNEP), the United Nations Development Programme (UNDP) and other interested organizations, prepared in 1999 a UNCCD National Reports Help Guide (ICCD/COP/(3)/INF.3) with the aim of assisting African country Parties in their first reporting exercise and further fine tuning the framework for the provision of information to be provided for the review of the implementation process at the Conference of the Parties.

4. The Help Guide was adapted for COP 4 to the specific needs of Asia, Latin America and the Caribbean and subsequently adopted in amended forms by the appropriate regional forums of the regional annexes. The same Help Guide will be used for the second reporting exercise. However, adjustments were introduced in the Help Guide in the light of amendments suggested by the Committee on Science and Technology (CST) and others and reflected in decisions taken at COP 3, COP 4, and COP 5. The adjusted Help Guide is to be found in part B of the present document.

5. The Conference of the Parties by its decision 1/COP.5, established a Committee for the Review of the Implementation of the Convention (CRIC) which, according to that decision, shall convene its first session from 18 to 29 November 2002.

6. Furthermore, decision 1/COP.5 requests that the first session of the CRIC shall review updates to reports already available and/or new reports from all regions, to be submitted no later than 30 April 2002.

7. The review process shall examine, *inter alia*, reports submitted by the Parties, information and advice from the Global Mechanism (GM) and the Committee on Science and Technology (CST), and reports by relevant organs, funds and programmes of the United Nations system and other intergovernmental and non-governmental organizations, as well as such other reports as the Conference of the Parties may call for.

8. The COP felt important for the process to accommodate a peer review of the national reports and their updates. The secretariat will fulfil this requirement while facilitating the preparation of regional inputs for the review process. This will be achieved through the organization of regional meetings.

9. Due to the exceptional case where all regions are subject to review at the CRIC in November 2002, as requested by decision 1/COP.5, developed country Parties and intergovernmental organizations shall report on measures taken to assist in the preparation and implementation of action programmes, including information on the financial resources they have provided, or are providing, under the Convention for all regions in a report submitted no later than 30 April 2002. Non-governmental organizations are invited to integrate their contributions in the respective national reports.

B. Adjustment to the reports resulting from decision 1/COP.5

(a) National level

10. The format of the updated reports should follow the headings of decision 11/COP.1, paragraph 10, quoted above. Whereas it is expected that some reporting Parties might not be able to provide updates with respect to all headings, they are nevertheless requested to list the headings without any specific entry. Adhering to this proposed approach will simplify the comparison between the old and updated reports as well as facilitate the preliminary analysis requested in decision 1/COP.5, paragraph 7.

11. Country Parties that have not yet submitted a national report on the implementation of the Convention shall produce a full report, using the slightly updated Help Guide, and covering the period starting with the ratification and/or accession to the Convention until the submission date i.e. 30 April 2002.

12. By its decision 1/COP.5, the Conference of the Parties decided that the review process should benefit from regional inputs and focus on a number of key thematic topics up to and including the seventh session of the COP.

13. Some of those key topics correspond to headings of the earlier format for reporting as outlined in decision 11/COP.1 and as quoted above in this explanatory note. In order to facilitate and streamline the reporting exercise, it is suggested that the following key thematic topics should be integrated into the headings of the format for reporting as follows:

Reporting format for national reports (Help Guide)		Key thematic topic for the review process (decision 1/COP.5)
Section (A)(iv)	The institutional measures taken to implement the Convention	(iii) Legislative and institutional frameworks or arrangements
Section (A)(v)	The participatory process in support of the preparation and implementation of the action programme	(i) Participatory processes involving civil society, non-governmental organizations and community-based organizations
Section (A)(vi)	The consultative process in support of the preparation and implementation of the national action programme and the partnership agreement with developed country Parties and other interested entities	(iii) Resource mobilization and coordination, both domestic and international, including conclusions of partnership agreements
Section (A)(viii)	Financial allocations from national budgets in support of implementation as well as financial assistance and technical cooperation received and needed, identifying and prioritizing requirements	
Section (A)(iv)	The institutional measures taken to implement the Convention	(iv) Linkages and synergies with other environmental conventions and, as appropriate, with national development strategies

Section (a)(vii)	The measures taken or planned within the framework of the national action programme	(v) Measures for the rehabilitation of degraded land and for early warning systems for mitigating the effects of drought
Section (a)(vii) Section (a)(ix)	As above, and, as appropriate A review of the benchmarks and indicators utilized to measure progress and an assessment thereof	(vi) Drought and desertification monitoring and assessment
Section (a)(vii) Section (a)(ix)	As above, and, as appropriate A review of the benchmarks and indicators utilized to measure progress and an assessment thereof	(vii) Access by affected country Parties, particularly affected developing country Parties, to appropriate technology, knowledge and know-how

14. It should be noted that the summary provided by Parties along with the national report should also focus on the key thematic issues outlined for the review process at the CRIC.

(b) Joint, subregional and regional levels

15. The subregional and regional reports are still expected to provide information on the key thematic topics identified in decision 1/COP.5, where and when appropriate:

(i) Participatory processes involving civil society, non-governmental organizations and community-based organizations;
(ii) Legislative and institutional frameworks or arrangements;
(iii) Resource mobilization and coordination, both domestic and international, including conclusions of partnership agreements;
(iv) Linkages and synergies with other environmental conventions and, as appropriate, with national development strategies;
(v) Measures for the rehabilitation of degraded land and for early warning systems for mitigating the effects of drought;
(vi) Drought and desertification monitoring and assessment;
(vii) Access by affected country Parties, particularly affected developing country Parties, to appropriate technology, knowledge and know-how.

16. It should be noted that the summary provided by Parties should also focus on the key thematic issues outlined for the review process at the CRIC.

C. Adjustment to the reports resulting from other COP 5 decisions

(a) Decision 3/COP.5

17. In response to decision 3/COP.5, Parties are invited to consider the report of the Ad Hoc Working Group contained in document ICCD/COP(4)/AHWG/6 and highlight the steps taken and progress made in order to follow up on recommendations made, particularly with respect to the implementation of the UNCCD at the local level, as well as the negotiation and conclusion of partnership agreements based on national, subregional and regional action programmes.

(b) Decision 10/COP.5

18. On the recommendation of the CST, the Conference of the Parties requested the secretariat to revise the National Reports Help Guide to enable Parties to ensure that the activities of scientific and technical institutions and communities were better reflected in their national reports.

19. The proposed text, as contained in document ICCD/COP(5)/CST/5, was reviewed and adopted with minor modifications by the COP during its fifth session; therefore, given that it has already been accepted by Parties, there is no need to propose amendments to this section of the document. Members of the CST have agreed that this text would be applicable to all regions affected by desertification and drought. Decision 10/COP.5 requests the secretariat to include new indicators, evaluation parameters and other elements in the table of the Help Guide entitled: (iii) "Strategies and priorities established within the framework of sustainable development plans and/or policies". The inclusion as contained in document ICCD/COP(5)/CST/5 and adopted by decision 10/COP.5 was duly incorporated in the amended Help Guides.

II. REVIEW PROCESS

A. Organization of review process leading up to the first session of the CRIC

20. The following steps will be taken in order to prepare for the first session of the CRIC, taking into consideration the various legislative provisions guiding the reporting process:

(i) National reports submitted to the secretariat no later than 30 April 2002;

(ii) The secretariat will prepare a compilation, synthesis and preliminary analysis of the reports (May-June 2002);

(iii) Convening of regional meetings from which inputs for the review process will be obtained (June-August 2002);

(iv) The results from regional meetings will be annexed to the preliminary analysis prepared by the secretariat and submitted to the CRIC (July-August 2002);

(v) Distribution of the official documents for the CRIC;

(vi) Convening of the CRIC (November 2002).

21. The secretariat is charged with facilitating the reporting and review process, which also includes the timely provision of financial support to country Parties for the preparation of their national reports. Steps have been taken to approach donor countries for adequate resource mobilization and the secretariat will shortly communicate to Parties how the financial support to the reporting exercise will unfold, pending the response from donor countries and availability of funds.

B. Organization of the first session of the CRIC

22. It is anticipated that the CRIC at its first session will conduct a review according to the key thematic topics (as mentioned in paragraph 10 of the terms of reference of the CRIC), while not neglecting specific issues as they emerge from the inputs from regional meetings.

23. Enough time will be made available to discuss and adopt the comprehensive report of the CRIC, which will include conclusions and recommendations to the COP.

24. A provisional annotated agenda and a proposed programme of work will be circulated in due time, as stipulated in paragraph 9 of the terms of reference.

PART B

I. INTRODUCTION

25. This Help Guide is designed to provide UNCCD national focal points (NFPs) with useful information to assist them in collecting, compiling, analysing and presenting data and information in order to prepare and submit national reports for review by the Conference of the Parties (COP). Country Parties are required to communicate to the COP on measures taken for the implementation of the United Nations Convention to Combat Desertification (UNCCD, art. 26).

26. The guide[1] comprises two sections. The first section, the introduction, provides background information and explains the procedures for the communication of information and review of implementation of the Convention. The second section, the methodology, outlines specific guidelines provided by decision 11/COP.1 on procedures for the communication of information and review of the Convention's implementation. This was adopted at the first session of the COP. The text of the decision is given in annex I to this document. Decision 5/COP.2 and decision 1/COP.5 supplementing decision 11/COP.1 are also attached.

27. This Help Guide sets neither an obligatory format nor an exclusive modality for national reports. It is, rather, indicative in providing a style and methodology for national reports with a view to supporting national focal points and other stakeholders in carrying out the preparatory work for national reports.

28. National reports will be communicated by Asian country Parties, through the UNCCD secretariat, to the first session of the Committee for the Review of the Implementation of the Convention (CRIC) to be held in November 2002. The Committee will review updates to reports already available and/or new reports from all regions, which are to be submitted to the secretariat no later than 30 April 2002, as requested by decision 1/COP.5.

29. It is expected that the proposed Help Guide will be consulted by UNCCD national focal points (NFPs) and UNCCD national coordinating bodies (NCBs)[2] and adapted as appropriate, taking into account the particularities

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[1] This Help Guide is based upon the first version contained in the Proceedings of the Third Regional Meeting of the UNCCD National Focal Points in Asia held in Bangkok, Thailand from 7 to 8 November 2000. The text is also posted on the following websites:
http://www.unccd.int/cop/reports/menu.php and
http://www.unccd.int/cop/reports/asia/asia.php

[2] The national coordinating body (NCB) is usually the government ministry or agency designated to coordinate the work of the UNCCD at the national level, and the national focal point (NFP) is the contact person for the UNCCD, usually within the NCB.

and varying requirements of each national context. The Help Guide could also serve as a tool for monitoring and evaluating progress made in combating land degradation with the aim of ensuring sustainable development.

A. Purpose of the exercise of formulating national reports

30. The main purpose of national reports is to inform the Parties to the Convention on the situation of each country Party with regard to measures taken for the implementation of the UNCCD at the national level. The specific objectives of procedures for communicating information on the Convention's implementation and its review are described in paragraph 2 of decision 11/COP.1 (see annex I).

31. The information provided in the national reports, together with that provided in the subregional, regional and other reports, should allow the COP, through the CRIC, to review the implementation of the Convention and the functioning of its institutional arrangements in the light of the experience gained at the national, subregional, regional and international levels. This should also allow for an assessment of the evolution of scientific and technological knowledge (UNCCD, art. 22, para. 2 (a)).

32. In addition to informing on measures taken for the implementation of the Convention, national reports are expected to give an assessment of the progress made towards achieving the objectives of the Convention and to enable the CRIC to formulate appropriate recommendations for the furtherance of these objectives. The key thematic areas of the CRIC review process are listed in paragraph 10 of decision 1/COP.5.

33. The formulation of national reports is itself an essential part of the implementation of the Convention. Thus, while providing information on the status of the UNCCD process, the reports should also contribute to the strengthening of the institutional and human capacities of national focal points and national coordinating bodies, thereby improving their ability to coordinate the work and to stimulate the further steps required for effective implementation of the UNCCD as an integral part of national efforts to promote sustainable development and global environmental protection.

34. In the light of the fact that in some Asian countries, national action programmes to combat desertification (NAPs) are already being implemented or in preparation, such endeavours should be reflected in national reports. It should provide detailed information on the consultative processes taken to promote partnership arrangements and indicate the roles played by various stakeholders.

35. It is important that national reports highlight not only achievements but also constraints encountered in implementing the Convention so that better ways and means of overcoming such constraints may be pursued for the benefit of all actors and stakeholders.

36. National reports are required to contain information on UNCCD implementation in a concise and consistent manner, particularly on progress made towards implementing the Convention. As the first national reports fully addressed policy issues, institutional measures and participatory processes, the second national reports are expected to address, in detail, the consultative processes in support of the preparation and implementation of the national action programmes as well as partnership agreements with developed country Parties. Reports can also serve to address technical and scientific matters, as well as socio-economic and other environmental issues in order to provide, in due time, the framework for a country profile. Its purpose will be to facilitate assessment of progress in combating desertification in the longer term.

37. Reporting at the subregional and regional levels on progress made in implementing the Convention is expected to focus on measures and significant developments in the subregional and regional action programmes (SRAPs/RAPs). Either a competent subregional/regional organization or a specific country representing those participating in the SRAPs/RAPs processes will arrange such reporting. The host country of each Asian regional thematic programme network (TPN) will also include in their updated reports their activities to support TPNs in collaboration with TPN host institutes and task managers. Other TPN member countries should also include in their national reports information on linkages with the SRAPs/RAPs (TPNs). Subregional and regional organizations are also expected to submit to the Parties, in a comprehensive but concise manner, complementary information on the measures and development of the SRAPs/RAPs.

B. Possible process, to be adapted as needed in each national context

38. The time frame for national report preparation and the review process is a matter for the respective governments to decide within their national context.

39. An essential component of the national report preparation is its participatory and integrated approach. The report needs, therefore, to reflect the views of a wider set of actors and stakeholders, in particular those of relevant ministries, public agencies, non-governmental organizations (NGOs), community-based organizations (CBOs), academic institutions, the private sector, regional and local authorities and the media.

40. The national reports are expected to be the result of the participation and contributions of relevant representatives of:

(a) groups of institutions and social entities, in particular NGOs, CBOs, academic and technical institutions, the private sector, local authorities and the media;

(b) actors and stakeholders in public policy and planning processes in areas such as agriculture, energy, environment, natural resources, education, health, trade, poverty alleviation, migration, biodiversity, climate change, forests, marine and coastal management, freshwater management and national development planning.

41. Time management in conducting the report preparation process is crucial in order to meet the deadline for submission of the report. Maximizing use of the timeframe given is important and therefore it would be necessary to ensure that a minimum at least of designated representatives from the core groups of actors and stakeholders is involved. The national focal points and national coordinating bodies can promote additional and parallel consultations with different institutional and social categories and/or in different provincial/local areas in order to ensure their greater participation in the process. Such mechanisms can be tested and improved in the context of the longer-term iterative NAP process.

42. In line with the participatory approach and principles of the UNCCD, a work plan is proposed (annex II) as a tentative process for the elaboration of the national reports, taking into account relevant provisions of the Convention as well as COP decisions, in order for the reports to be submitted no later than 30 April 2002.

C. Reporting on UNCCD implementation at the subregional and regional levels

43. It is also expected that activities undertaken and progress made in implementing the UNCCD at the subregional regional levels in Asia will be reported to the CRIC. Subregional and regional organizations, or an entity representing subregional and regional groupings of countries collaborating in UNCCD implementation at the subregional and regional levels, may wish to report on these activities. The organizations and countries concerned may wish to consult among themselves over the time frame proposed for national report preparation. The deadline for the submission of reports is the same as that for national reports, 30 April 2002.

44. In the light of the evolving nature of the institutional support provided for the regional action programme in Asia, the Asian national focal points may agree on the modalities of reporting at the regional level, on the understanding that the task managers and hosts of the thematic programme networks of the RAP would draft the chapters of the regional report corresponding to their respective fields of activites.

45. With respect to western Asia, the following subregional organizations assisted the first national report review process in 1999: ACSAD (Arab Centre for Studies of Arid Zones and Dry Lands), ICARDA (International Center for Agricultural Research in Dry Areas), AOAD (Arab Organization for Agricultural Development) and CEDARE (Centre for Environment and Development for the Arab Region and Europe). It is hoped that they can continue to play

such an instrumental role in the second national report reviewing process in 2002. Considering that subregional organizations in Africa have played an important role in assisting African countries in preparing national reports for review at COP 3, western Asian countries preparing national reports may wish to consider collaborating with and receive assistance from one or more of the subregional organizations in Asia.

D. Synergy with similar processes

46. In the preparation of the national reports, NFPs/NCBs should, as appropriate, make use of experiences gained and data collected in similar processes such as those for the United Nations Framework Convention on Climate Change, the Convention on Biological Diversity, National Environmental Action Plans and National Agenda 21. Efforts should be made to avoid duplication, seek synergies and improve information management for integrated policy making. Information pertaining to broader land degradation issues, water management or drought patterns and mitigation may be most relevant.

47. In order to address global environmental matters and sustainable development in an holistic manner, NFPs/NCBs may wish to consult the work carried out by subregional, regional and international organizations, particularly on synergies and inter-linkages that address issues of biodiversity, climate change, oceans and water management. The UNCCD and other convention secretariats, UNDP, UNEP, the World Bank, the Global Environment Facility (GEF) and UNITAR have been carrying out useful work in these areas. Any reporting on synergistic activities (desertification, biodiversity conservation and carbon sink creation to mitigate climate change) will be welcome.

E. Submission modalities

48. Parties are requested to communicate their reports in one of the official languages of the United Nations. Parties are also encouraged to submit their reports, or at least summaries of them, in English, which will allow wider dissemination of the information.

49. The guidelines provided by decision 11/COP.1 require national reports to be as concise as possible in order to facilitate their review. They do not, however, stipulate a required length, which may vary according to particular national requirements and the national report preparation process. In this respect, however, it is recommended that reports should remain within a length of 30 pages, including a six-page summary. Parties are also encouraged to include in their report references to other policy instruments or technical documentation containing additional relevant information.

50. Countries are requested to put emphasis on the key thematic areas indicated in decision 1/COP.5.

91. Those countries having already participated in the first reporting process are requested to submit updated version of their first national report, focusing on the progress and developments made after the completion of the report. However, they are invited to follow the same format and table of contents as in the first report. The Parties might wish to summarize matters already reported in the first national reprots not exceeding 100 words or 6 lines per heading.

92. The report should be submitted as a single document in hard copy as well as in an electronic form (either as a diskette, a CD-ROM, a web site or an e-mail attachment). In order to facilitate the report compilation by the UNCCD secretariat, it is recommended that reports should be produced in either MS Word 6 or above, or Rich Text Format.

93. To complete the national report review in a timely manner, it is required that reports will be submitted to the UNCCD secretariat in Bonn, Germany, no later than 30 April 2002, at the following address:

UNCCD secretariat
Haus Carstanjen
Martin-Luther-King-Strasse 8
D-53175 Bonn, Germany
Fax: (+49-228) 815-2899
E-mail: secretariat@unccd.int

94. It is also suggested that country Parties should send national reports to subregional, regional and international organizations and to groups of countries planning to deliver reports on UNCCD implementation at the subregional and regional levels for review during the first session of the CRIC.

II. METHODOLOGY

A. Proposed methodology

95. The methodology proposed for national reports follows and adapts the pattern formulated by the Committee on Science and Technology concerning indicators for monitoring the UNCCD implementation process (contained in document A/AC.241/INF.4 and complemented by documents ICCD/COP(1)/CST/3/Add.1 and ICCD/COP(2)/CST/3/Add.1).[3]

96. It also takes into consideration the criteria for reporting adopted by the COP at its fifth session (decision 10/COP.5). The added CST-related information was taken from document ICCD/COP(5)/CST/5.

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[3] Additional information is contained in the OSS/CILSS/CEDEAO report to the UNCCD/COP 2 session: "UNCCD's Implementation Indicators Grid - A NAP Consolidation Tool", Paris, Ouagadougou, November 1998.

57. The UNCCD secretariat welcomes suggestions for improving the quality and effectiveness of the reporting process so that it will better reflect particular situations in respective areas and countries. The methodology proposed in this Help Guide should not limit responses to the questions provided but should rather serve as guidance to demonstrating compliance with the national report preparation process pursuant to relevant COP decisions (annex I).

58. Any comments on this text may be forwarded to the attention of:

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59. The following section is in keeping with the points (i) to (ix) of the guidelines provided in decisions 11/COP.1 and is presented in four columns containing: indicators, evaluation parameters, remarks and proposed questions on the various subject areas.

B. Detailed guidelines based on the format provided by the Conference of the Parties (decision 11/COP.1)

(i) Table of contents

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Table of contents		The table of contents should reflect items listed in decision 11/COP.1, sections and sub-sections of the national report. It should also list annexes and any additional materials attached to the report.	

(ii) Summary not exceeding six pages

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Summary of the national reports		The summary should not exceed six pages. It should highlight the major elements of the report and provide the basic information that would allow the COP to easily comprehend the status of the Convention's implementation and its assessment in the country.	

(iii) Strategies and priorities established within the framework of sustainable development plans and/or policies

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
National plans and strategies available in other social and economic areas **National plans or strategies in the field of combating desertification developed prior to the UNCCD**	National development plan National environmental action plan or strategy National and local Agendas 21 National conservation strategy Other relevant plan or strategy (agriculture, energy, education, trade, health, poverty eradication, migration, forests, climate change, biodiversity, coastal and marine resources, etc.)	The purpose here is to provide basic information on the existence of plans and strategies in other areas which are relevant to combating desertification. The specific integration or linkages of the NAP with these other plans or strategies is to be assessed below under item (iv) on institutional measures taken to implement the Convention. Additionally, it would be useful to provide basic information on previous plans or strategies in the field of desertification, in particular, those stemming from the Nairobi United Nations Conference on Desertification of 1977.	• What are the plans and strategies available in areas relevant to the combat of desertification? • What is their status? Are they formulated? Are they being implemented? Since when have they been operational? • For sector-specific plans and strategies, what level of priority has been given within the overall national development plan? • Do these plans and strategies have any reference to the combat of desertification or connection to the UNCCD/NAP? • Have specific plans or strategies been developed in the past to address desertification?

Newly introduced indicators, according to decision 10/COP.5

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Scientific and technical desertification control activities	Listing, adapting and integrating scientific and technical activities into the NAP	Scientific and technical activities should be analyzed to verify their compliance with the principles of the Convention. Adaptation and integration of technical and scientific programmes in the NAP and national reports for consideration by the Conference of the Parties.	• Which scientific and technical activities relating to desertification control and drought mitigation have been identified under the NAP? • Have the scientific and technical desertification control activities been considered with a view to determining their conformity with the principles of the Convention? If so, how and by whom was this done? • What proposals have been made to integrate the scientific and technical community in the NAP process? • What arrangements have been made to adapt the scientific and technical activities under way to the NAP process? • Have the scientific and technical desertification control activities specifically recommended in the NAP been implemented, what progress have they made and what are their results and impact? • What consultation procedures have been implemented with the scientific and technical community? • What mechanism has been set in place to facilitate consultation?

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Implementation of the recommendations of the Committee on Science and Technology	Assessment of progress made in implementing the recommendations of the Committee on Science and Technology Number of activities and recommendations of CST used in combating desertification and mitigating the effects of drought, for example: • Development and use of benchmarks and indicators which should not be only physical and biological, but also address institutional matters, including legislative, social and economic issues, such as the qualitative and quantitative assessment of the participation of civil society; • Promotion, use and enhancement of traditional knowledge; • Use or need to use early warning systems for drought management; • Training and field studies to identify pilot sites to be used in supplementing information and data on desertification generated by such advanced technology as remote sensing and geographical and environmental information systems.	In presenting essential activities, projects and programmes under way or envisaged to address the underlying causes or to remedy the visible effects of desertification, with a view to drawing lessons and to popularizing the scientific and technical methods used, it is recommended that the following points be stressed: • Illustration of South-South and North-South collaboration activities, highlighting the advantages of information exchange and the transfer of technology and technical know-how; • Presenting strategies and approaches used to collect, popularize and disseminate information with a view to mobilizing and raising awareness and promoting, using and enhancing traditional knowledge in order to combat desertification; • Presenting existing or envisaged methods and activities based on synergy or collaboration with other multilateral environmental agreements, in particular, the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change.	What lessons have been drawn from implementing the recommendations of the CST, in particular in respect of the following: • Benchmarks and indicators; • Traditional knowledge; • Training and field studies to identify pilot sites? What use has been made of experts from the roster of independent experts drawn up by the secretariat?

(iv) Institutional measures taken to implement the Convention

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Established and functional national coordination body (NCB)	Legal status	The status of the NCBs as well as the role and function of the NFPs give an indication of its institutional capability and latitude to act in promoting the UNCCD implementation as a supervisory and coordinating body.	• What is the juridical personality of the NCB? • What is its legal capacity? • Does it have financial autonomy? • What are its functions and mandate? • What is its institutional framework?
	Resources	Resources (human, financial, material) as indicators of the NCB's capacity to act.	• What are its human resources (total staff number of managers, professionals and their levels and areas of expertise)? • What are its financial resources? • What are the other material resources (equipment etc)?
	Cross-cutting and multidisciplinary characters	Cross-cutting and multidisciplinary characters should be reflected, within the NCB, by the presence of staff from various sectors who are trained and have experiences in various socio-economic and environmental fields and in natural resource management.	• What are the social and economic sectors that are relevant to combating land degradation represented in the NCB? • What are other relevant institutional or social categories represented? • What are the ways and means of communication or networking among members of the NCB and the groups they represent?

	Composition and mode of operation	The last parameter should describe how the NCB enables various actors to participate in its work, in particular NGOs and the representatives of the local populations.	With regard to consultations: • What is the modality for nominating members of the NCB? • What is the composition of the NCB and what is the ratio of Government/civil society and men/women among participants? • What is the frequency of meetings of the NCB? With regard to functioning: • Is there a work plan and timetable for activities? • Is there a budget for the functioning of the NCB? • What are the mechanisms for supervision, control and evaluation of the work of the NCB?
	Status of information data	Databases, access to the internet, web site, information networking (internal and external).	• What are the information system capacities of the NCB? • What specific databases are being maintained by the NCB? • What other databases exist in the country which are relevant to desertification? • How exchanges of information are promoted internally and externally by NFPs/NCBs?

(iv) (cont.) Institutional measures taken to implement the Convention

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Institutional framework for coherent and functional desertificati on control	Measures adopted to adjust or strengthen the institutional framework	Analysis of existing mechanisms for coordinating and harmonizing desertification control actions (at the local and the national level) should reflect lessons from past experiences. Analysis should form a basis for proposing measures to readjust, adapt, and strengthen existing mechanisms, in particular to ensure the participation of local actors.	• Have the mechanisms available for coordination and harmonization of actions to combat land degradation at national and local levels, been reviewed or analyzed in terms of overall efficiency, consistency and complementarity of the actions involved? • Has the review lead to any proposals or new political, institutional or organizational measures? • What are the measures taken to make the above measures sustainable and effective?
	Measures adopted to strengthen existing institutions at the local and national levels	This involves various actions in capacity building that are to be implemented in the short- and medium-term.	• Has capacity and institution building been addressed and promoted? • How have these measures facilitated the implementation of the NAP and made its structures operational?

NAPs as part of the National Economic and Social Development and Environment Protection Plans	Making the NAP coherent with other environmental strategic and planning frameworks	Ensure that a concerted analysis has been made on existing plans. This will also help make international partners' strategies coherent at the national level. How are the UNCCD principles accommodated in other environmental frameworks (participation, partnership, programme approach, etc.)? Indicate the work plans or the time frame for preparing, adopting and implementing the NAP.	• Has a concerted analysis been made on the existing plans and strategies that are relevant to combating land degradation with a purpose of ensuring complementary action and avoiding duplication or scattered efforts? • Is the NAP fully considered as a strategic framework within the overall development plan? • What has been attempted to seek synergies and complementary approaches? • How are the UNCCD principles acknowledged and integrated in other environmental and development plans (participation, partnerships, programme approach etc)? • What proposals exist concerning synergy, complementarity, etc.?
	Linkages of the NAP with national, intra-regional and local approaches	The NAPs should be incorporated in all levels of the National Economic and Social Development and Environment Protection Plans.	• Is the NAP clearly and visibly integrated into the process of national economic and social development and environment protection planning systems, including at the local and national levels?
	Linkage of NAP with subregional and regional action programmes (SRAP and RAP)		• Have linkages between the NAP, SRAP and RAP been clearly identified and articulated? • What are actions or activities in the NAP that have a subregional or regional dimension?
	Government's agreement		• Has the government officially adopted the NAP? • Has a priority been given officially to the NAP in the budget to finance the implementation of national development plans?

(iv) (cont.) Institutional measures taken to implement the Convention

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Coherent and functional legal and regulatory framework	Analysis of the legislation on environment and related fields	The cross-analysis of environmental and other relevant legislation should, in particular, form a basis to ensure greater responsibility by the local population and to ensure a stable land tenure system.	• Has a study or analysis been made on existing legislation? • What have been the legislative measures that aimed at developing and ensuring a greater involvement and responsibility of local populations? • Have measures been taken to raise awareness and encourage local populations to enhance their participation?
	Measures to adapt current legislation or introduce new enactments: • Land tenure reform, • Decentralization, • Natural resource management (forestry code, pastoral code, etc.)	All the measures should be supported by efforts to provide grassroot stakeholders with information on national policy orientations and the contents of legal enactment and regulations to the grassroots level in order to promote greater participation by the local populations.	• Have measures been taken to strengthen capacity of local populations and local authorities to participate in decision making that is relevant to combating land degradation? • What are the procedures to identify and implement such measures?

(v) Participatory process in support of preparation and implementation of action programmes

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Effective participation of actors in defining national priorities	Methods of participation of various actors in regular consultations, meetings and regular exchange of information in mailing and e-mailing networks	Analysis on methods of participation will verify the level of involvement by relevant actors in defining national priorities: local authorities, community-based organizations (CBOs), non-governmental organizations (NGOs), the private sector, academic institutions, youth, women and other groups. Providing relevant actors with accurate and timely information, in particular information that concerns the UNCCD implementation process and to promote their full participation in decision-making.	• Does a strategy of communication and public awareness exist? • If yes, is it being implemented? • If not, how have awareness campaigns been organized? • How are messages, contents and media chosen for such campaigns? • Have all relevant entities, social and institutional groups benefited from awareness campaigns? • Have relevant information documents about the UNCCD been translated and made available to the local populations in their own languages? • What is the number of women involved in the process and what is the degree of their involvement? • Has attention been given to gender issues in policies? • What are the activities targeting specific groups such as women, youth, the private sector, scientific/academic and media?

	Representation of various actors in national priority identification processes (local forums, national forums)		• What is the nature of the various intermediaries (consultants, NGOs, government agencies etc) that have facilitated the awareness process? • Have they been trained for those functions and tasks? • What consultative processes have been undertaken with each category of actors and stakeholders and how decentralized have they been? • Has a mechanism been put in place to ensure continuous consultations?
	Nature and scope of information, education, and communications		• What are the systems for exchange, circulation, transfer and dissemination of information? • What are the mechanisms adopted to ensure that various categories of actors are involved in the process to provide information as well as to benefit from information networks?
	Extent of uptake: • of local concerns at the national level, • of results of national consultations at the local level		• What is the modality for designating the representatives of various social and institutional categories, at both national and local levels, (nomination, election etc)? • What are the relationships among various actors involved in the local and national consultative processes?

(vi) Consultative process in support of the preparation and implementation of national action programmes and partnership agreements with developed country Parties and other interested entities

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Effective support from international partners for cooperation	Degree of participation from international partners	Commitments by international partners should lead to their participation in local and national consultations and their provision of financial support for the process. Consultation among partner countries may be organized *inter alia* by the appointment of a lead country to serve as a facilitator.	• What are the measures taken by the government to ensure the involvement of international partners in the process? • Have these partners participated in all stages of the process? • What have partners done to be present and active? • What have been the follow-up activities by the government?
	Establishment of an informal consultation and harmonization process for actions between partner countries		• Is there a consultative mechanism established among partners at the national or local levels? • What are the mechanisms to communicate information among them and with NFPs/NCBs? • What is the frequency of meetings and the number and level of participation? • What is the distribution of roles and tasks among various partners?

(vii) Measures taken or planned within the framework of national action programmes, including measures to improve the economic environment, to conserve natural resources and promote their sustainable use, to improve institutional organization, to enhance knowledge on desertification and its control and to monitor and assess desertification and drought

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Adequate diagnosis of past experiences	Synthesis and evaluation of activities undertaken in the field of combating desertification		• Has an exhaustive diagnosis been undertaken on past experiences? How and by whom? • If yes, please describe consultations undertaken and the participatory approach developed therein? • Has such a diagnosis helped advance the NAP process? • Has the diagnosis formed a basis to make specific recommendations for the formulation of the NAP?
Established technical programmes and functional integrated projects to combat desertification	Inventory, adaptation and integration of projects underway within the NAP process	Projects underway in resource management and desertification control should be analyzed in relation to the UNCCD principles and, if necessary, adjusted accordingly. This should be a gradual action geared for the medium term. Well-adapted training and scientific-technical programmes should be designed and implemented.	• Have on-going projects involving natural resource management and in particular, combating desertification, been reviewed to assess the integration of the UNCCD principles in these projects? If so, by whom? • What are the proposals to integrate the on-going projects into the NAP process? • What steps are taken to ensure adaptation of on-going projects and their integration into the NAP process?
	Identification of new actions and planned measures		• What new actions are proposed to combat desertification? • What are the planned measures?

	Specific actions to strengthen the national capacity to combat desertification, in particular at the local level	Under this item, specific responses on training and capacity building processes are expected. Information on other institutional measures is to be provided under item (iv) on the institutional measures taken to implement the Convention.	• Have specific training as well as technical and scientific programmes been formulated and adopted? • Has priority been given to strengthen capacities at the local level? • If yes, how?
Action programmes implemented in compliance with priority fields set out in the Convention	• Measures for national resource conservation • Measures to improve institutional organization • Measures to enhance knowledge on desertification and its control • Measures for monitoring and evaluating the effects of desertification and drought • Measures to improve the economic environment	The contents of the various provisions stem from the contents of the action programme adopted by each of the affected countries. Article 8 of the Regional Implementation Annex for Africa gives an example of the contents that might be included in the measures to be adopted Additional information on these measures can be provided in responses to questions under previous indicators. On institutional measures in particular, responses can be concentrated under item (iv) on the institutional measures taken to implement the Convention	• Have measures been identified and taken such as those proposed in article 4 of the Regional Implementation Annex for Asia of the UNCCD? • If yes, how are they integrated into other national policies and plans (agriculture, trade, poverty eradication, energy, financial instruments, migration, environment conservation, etc.)?

Linkage achieved with subregional and regional action programmes (SRAP and RAP)	• Development, at the national level, of programmes of a subregional or regional character • Strengthening relevant scientific networks at the national, subregional and regional levels	The desertification control programmes should be developed and implemented concurrently at the national, subregional and regional levels in a coherent manner The level of interaction between national actors and relevant networks can measure the contribution from scientific networks	• How have actions and measures taken at the subregional and regional levels and at the SRAP and RAP levels been developed concurrently in a manner coherent with national policies and NAPs and vice versa? • Are national scientific and technical institutions participating actively and effectively in subregional, regional and international relevant networks?
Effectiveness of measures in local capacity building	• Degree of responsibility in natural resource management at the local level • Degree of decentralization • Involvement of actors in monitoring and evaluation process	The degree of power which governments delegate to local actors and supporting measures (training for local organization, etc) need to be clearly shown Additional information on this indicator can be provided in responses to questions under previous indicators, in particular, under item (iv) on the institutional measures taken to implement the Convention	

Partnership agreements applied	• Functioning of internal partnership agreements • Consultation and coordination process • Investments made for NAP implementation • Number of international partners involved (multilateral and bilateral)	Information on this indicator and parameters can be found in responses to item (iv) on institutional measures taken to implement the Convention and item (vi) on consultative process in support of the preparation and implementation of NAPs and partnership agreements with developed country Parties and other interested entities	

(viii) Financial allocations from national budgets in support of implementation as well as financial assistance and technical cooperation including their inflows. Processes to identify their requirements, areas of funding and setting priorities

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Adopted financial mechanisms	Measures to facilitate the access of local actors to existing sources of funding	Revision of existing financial mechanisms should make finance-related tools more accessible to local actors.	• What measures have been taken to ensure access by local actors to funding sources? • Are these measures provisional or permanent, how can they be sustainable? • Is there a listing of existing sources of funding?
	Prepare a list of methods to mobilize internal and external resources	New forms of financing could comprise a "National Fund to Combat Desertification", or the promotion of funds at the local level. Within this frame, it is expected to define the terms and conditions for participation by various actors in the financing and management of desertification control activities. The international partners should support this process conceptually and financially.	• Has the government determined specific mechanisms to ensure financing for combating desertification? • What are modalities of participation of the various relevant actors in the funding and the management of activities to combat desertification? • Are international partners supporting these specific financial mechanisms?

	Analyze flows of investment in dry land development	Promoting environmentally sound and economically profitable investment is an essential scheme for pursuing sustainable development in dry lands	• Has a type of activities that generate sufficient economic return in an environmentally sound way been properly identified and promoted as investment projects? • Has the return of investment been properly reinvested to ensure financial sustainability? • Has investment in dry land been generating environmental and socio-economic benefits for multiple stakeholders?
NAP financing	• Mobilization of national resources • Mobilization of external resources • Contribution from the Global Mechanism • Number of partners providing financial support • Amount of financial resources available	Mobilization of internal resources indicates the degree of priority attached to desertification control by countries in the framework of action programme. Mobilization of external resources can show the degree of commitment of partners in cooperation to the national process. Evaluation of the Global Mechanism's contribution should be oriented through its capacity to mobilize new resources, to direct the countries concerned towards existing financial resources, to identify financial mechanisms that might help to implement the Convention.	• What actions have been taken to mobilize resources at national and international levels? • Has the Global Mechanism been contacted? Has it been able to provide orientation and support? • How many partners and which of them specifically support the NAP process? • How much have these partners provided to the NAP process and how much has the government requested them to provide?

Technical cooperation developed	• Mobilization of technical cooperation • Identification of priority needs in technical assistance		• Has there been a plan formulated for the request of technical cooperation, including multilateral and bilateral cooperation envisaged? • What technical cooperation support has been received other than financial resources? • What are the needs for technical cooperation and in what specific areas (technical, scientific, NGOs, CBOs, etc)? • What is the order of priority of the needs identified?

(ix) Review of benchmarks and indicators utilized to measure progress and an assessment thereof

INDICATORS	EVALUATION PARAMETERS	REMARKS	QUESTIONS
Operational mechanisms for monitoring and evaluation	Establishment and/or strengthening of national environmental monitoring and observation capacities Information systems on desertification at the national level Main actors' access to available information Mechanisms for consultation concerning an analysis of results Regular production of reports Feedback on evaluation for programme management	Affected countries should have a national capacity to harness relevant environmental information, including: • The capacity to collect, analyze and process information, and to produce impact indicators • The functional efficiency for disseminating information and networking at the national level • The capacity to harmonize existing information systems in related fields (environment, agriculture, energy, climate change, biodiversity, coastal and marine resource management, etc) • The capacity to monitor, assess and evaluate the impact of NAPs Response to this indicator and parameters can refer to the information provided on the same subject under item (iv) on institutional measures taken to implement the Convention	• What is the mechanism of monitoring and assessment of the environment? • What are the measures taken for harmonization of existing mechanisms and systems? • What is the planned national methodology for the elaboration of impact indicators? Has it been adopted?

C. UNCCD profile system for national reports

60. In addition to the requirements of decision 11/COP.1, UNCCD Parties increasingly feel the need for a database to provide a reference for:

(a) assessing the real extent of desertification, and
(b) assessing the results of efforts to combat desertification and mitigate drought.

61. As a preliminary step, NFPs are recommended to collect the information and data provided by national reports into specific databases. These could become information tools for improving policy regarding, and management of, land degradation issues, utilizing available national systems such as the Desertification Information Systems (DISs) and Environmental Information Systems (EISs).

62. National database development should in particular include institutional and expertise data such as relevant organizations/ institutions, experts, projects and technical documentation. These databases, as well as systems such as the DISs and EISs that have been developed in some countries as part of the NAP process, should be fully utilized to facilitate the preparation of future national reports.

63. Information obtained by the UNCCD from national reports, as well as from their compilation and analysis, may be gradually incorporated into a UNCCD profile system for national reports, with the purpose of facilitating interaction, data exchange and assessment among all relevant actors, at national, subregional, regional and international levels. This will support the implementation of the UNCCD including NAPs, SRAPs, and RAPs, encourage the use of quantitative information and facilitate the compilation and analysis of future reports (a tentative format is contained in annex III).

64. Some of the elements requested in annex III for the national UNCCD profile could also be utilized for the summary of the national report. Additional information, however, would also be required. The elements listed in annex III are indicative only and will be updated and completed by the secretariat under the guidance of the Parties in order to propose in due time a UNCCD country profile format containing the required information on relevant biophysical and socio-economic parameters.

Annex I

LEGISLATIVE AUTHORITY

A. Decision 11/COP.1[4]

Procedures for the communication of information and review of implementation

The Conference of the Parties,

Recalling article 26 of the Convention, which provides that each Party shall communicate to the Conference of the Parties at its ordinary sessions, through the Permanent Secretariat of the Convention, reports on measures which it has taken for the implementation of the Convention and that the Conference of the Parties shall determine the timetable for submission and the format of such reports,

Recalling also article 22, paragraph 2 (a) of the Convention, which provides that the Conference of the Parties shall regularly review the implementation of the Convention and the functioning of its institutional arrangements in the light of the experience gained at the national, subregional, regional and international levels and on the basis of the evolution of scientific and technological knowledge,

Recalling further article 22, paragraph 2 (b) of the Convention, which provides that the Conference of the Parties shall promote and facilitate the exchange of information on measures adopted by the Parties, and determine the form and timetable for transmitting the information to be submitted pursuant to article 26, review the reports and make recommendations on them,

Conscious of the desirability of adopting procedures to organize and streamline the communication of information,

Having reviewed the recommendations of the Intergovernmental Negotiating Committee on this issue,

Decides to adopt the procedures attached to the present decision.

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[4] Decision 11/COP.1 can be found in pages 41-46 of document ICCD/COP(1)/11/Add.1 which contains the decisions taken by the Conference of the Parties at its first session.

Introduction

1. The purpose of the present procedures is to organize and streamline the communication of information pursuant to article 26 of the Convention in order to facilitate the regular review of implementation by the Conference of the Parties, in accordance with article 22, paragraph 2 (a) of the Convention, and to promote and facilitate the exchange of information on measures adopted by the Parties pursuant to article 22, paragraph 2 (b) of the Convention.

2. Specific objectives of the procedures include the following:

(a) To ensure the effective assessment of progress towards achieving the objectives of the Convention and to enable the Conference of the Parties to make appropriate recommendations to further those objectives;

(b) To exchange information and data among Parties in order to maximize the benefits of successful measures and initiatives under the Convention;

(c) To ensure that the Committee on Science and Technology and the Global Mechanism have access to the information and data necessary to carry out their mandates;

(d) To ensure that information on implementation is in the public domain and available to the international community, particularly intergovernmental and non-governmental organizations, and other interested entities.

General obligation to report

3. Each Party shall communicate to the Conference of the Parties for consideration at its ordinary sessions, through the Permanent Secretariat, reports on the measures that it has taken for the implementation of the Convention.

4. Affected country Parties shall provide a description of the strategies established pursuant to article 5 of the Convention and of any relevant information on their implementation.

5. Affected country Parties that implement action programmes pursuant to articles 9 to 15 of the Convention shall provide a detailed description of the programmes and their implementation.

6. In addition to reports on action programmes pursuant to paragraph 5, any group of affected country Parties may make a joint communication, directly or through a competent subregional or regional organization, on measures taken at the subregional and/or regional levels in implementation of the Convention.

7. Developed country Parties shall report on measures taken to assist in the preparation and implementation of action programmes, including information on the financial resources they have provided, or are providing, under the Convention.

8. Parties are encouraged to make full use of the expertise of competent intergovernmental and non-governmental organizations in the preparation of reports and in the dissemination of relevant information.

9. Relevant organs, funds and programmes of the United Nations, as well as other intergovernmental and non-governmental organizations, are encouraged to provide information, as appropriate, on their activities in support of the preparation and implementation of action programmes under the Convention.

Format and content of reports

10. Reports should be as concise as possible to facilitate their review. They should be structured as follows, taking into account the degree of development of action programmes and other relevant circumstances:

(a) Reports on national action programmes

(i) A table of contents;

(ii) A summary not exceeding six pages;

(iii) The strategies and priorities established within the framework of sustainable development plans and/or policies;

(iv) The institutional measures taken to implement the Convention;

(v) The participatory process in support of the preparation and implementation of the action programme;

(vi) The consultative process in support of the preparation and implementation of the national action programme and the partnership agreement with developed country Parties and other interested entities;

(vii) The measures taken or planned within the framework of the national action programmes, including measures to improve the economic environment, to conserve natural resources, to improve institutional organization, to improve knowledge of desertification and to monitor and assess the effects of drought;

(viii) Financial allocations from national budgets in support of implementation as well as financial assistance and technical cooperation received and needed, identifying and prioritizing requirements;

(ix) A review of the benchmarks and indicators utilized to measure progress and an assessment thereof;

(b) Reports on joint, subregional and regional action programmes

(i) A table of contents;
(ii) A summary not exceeding six pages;
(iii) The areas of cooperation under the programme and measures taken or planned;
(iv) The consultative process in support of the preparation and implementation of the subregional or regional action programmes and the partnership agreement with developed country Parties and other interested entities;
(v) Financial allocations by affected country Parties of the subregion or region in support of implementation as well as financial assistance and technical cooperation received and needed, identifying and prioritizing requirements;
(vi) A review of benchmarks and indicators utilized to measure progress and assessment thereof.

c) Reports of developed country Parties

(i) A table of contents;
(ii) A summary not exceeding six pages;
(iii) The consultative processes and partnership agreements in which they are involved;
(iv) Measures taken to support the preparation and implementation of action programmes at all levels, including information on the financial resources they have provided, or are providing, both bilaterally and multilaterally;

(d) Reports of affected developed country Parties not preparing action programmes

(i) A table of contents;
(ii) A summary not exceeding six pages;
(iii) The strategies and priorities, within the framework of sustainable development plans and/or policies, to combat desertification and mitigate the effects of drought and any relevant information on their implementation.

11. Information provided by relevant organs, funds and programmes of the United Nations, as well as other intergovernmental and non-governmental organizations, should include summaries, in principle not exceeding four pages.

Language of reports

12. Reports shall be communicated to the Permanent Secretariat in one of the official languages of the Conference of the Parties.

Timetable for the submission of reports

13. The Conference of the Parties shall initiate, at its third session, review of the reports submitted by the Parties, alternating between affected African country Parties and affected country Parties of other regions. At its third session, the Conference of the Parties shall examine the reports of affected African country Parties. At its fourth session, the Conference of the Parties shall examine the reports of affected country Parties of other regions. Such rotation shall apply to subsequent sessions.

14. Developed country Parties shall report, at each session, on measures taken to assist action programmes of those affected developing country Parties reporting for the session. Relevant organs, funds and programmes of the United Nations, as well as other intergovernmental and non-governmental organizations, are invited to do likewise.

15. Reports shall be submitted to the Permanent Secretariat at least six months prior to the session at which they are to be reviewed.

Compilation and synthesis by the Permanent Secretariat

16. The Permanent Secretariat shall compile the summaries of reports submitted pursuant to paragraphs 3 to 7, and of information provided by relevant organs, funds and programmes of the United Nations, as well as other intergovernmental and non-governmental organizations, on measures taken or planned in support of implementation of the Convention.

17. The Permanent Secretariat shall prepare, in addition, a synthesis of the reports setting out the trends emerging in the implementation of the Convention.

Review process

18. Reports by Parties, together with advice and information provided by the Committee on Science and Technology and the global mechanism consistent with their respective mandates and such other reports as the Conference of the Parties may call for, shall constitute the basis of the review of implementation by the Conference of the Parties.

Periodic reports

19. After the third ordinary session and following every subsequent ordinary session of the Conference of the Parties, the Permanent Secretariat shall prepare a report summarizing the conclusions of the review process.

Official documents

20. Documents prepared by the Permanent Secretariat in accordance with paragraphs 16, 17 and 19 shall constitute official documents of the Conference of the Parties.

Availability of reports

21. All reports communicated to the Permanent Secretariat in accordance with the present procedures, as well as institutional information pursuant to paragraph 22, shall be in the public domain. The Permanent Secretariat shall make available copies of the reports to any interested Parties and other entities or individuals.

Communication of institutional information to the Permanent Secretariat

22. To facilitate exchanges of information and informal contacts within and outside the review process, Parties shall communicate to the Permanent Secretariat, as soon as practicable, information concerning the names, addresses and phone numbers of national, subregional, and regional focal points and coordinating bodies.

23. The Permanent Secretariat shall keep in databases and/or directories, and regularly update, information provided in accordance with the present procedures.

Assistance to developing country Parties in the preparation of reports

24. The Permanent Secretariat shall, on request and within the limits of its resources, facilitate assistance to affected developing country Parties, particularly affected African country Parties and least developed Parties among them, in the compilation and communication of information pursuant to the present procedures, or seek such assistance from bilateral donors and/or competent intergovernmental organizations.

B. Decision 5/COP.2[5]

Procedures for the communication of information and review of implementation

The Conference of the Parties,

Recalling article 22, paragraphs 2(a) and (b), article 23, paragraph 2(c), and article 26 of the Convention,

Reaffirming decision 11/COP.1 on procedures for the communication of information and review of implementation,

Having considered the review of the implementation of the Convention and of its institutional arrangements, including support to regional action programmes,[6]

1. *Recalls* that, at its third session, in 1999, it shall examine the reports of affected African country Parties and, at its fourth session, in 2000, the reports of affected country Parties in other regions;

2. *Recalls also* that developed country Parties shall report, at each session, on measures taken to assist action programmes of those affected developing country Parties reporting for the session, and that relevant organs, funds and programmes of the United Nations system, and other intergovernmental and non-governmental organizations, are invited to do likewise;

3. *Recalls further* that reports are to be submitted in conformity with the procedures for the communication of information and review of implementation contained in decision 11/COP.1;

4. *Calls upon* Governments, the United Nations system and all other interested organizations, including non-governmental organizations and the private sector, to provide technical and financial support with a view to assisting affected African country Parties for the compilation and communication of information to be submitted to the Conference of the Parties at its third session, in 1999, for consideration, as well as identifying the technical and financial needs associated with action programmes;

5. *Requests* the secretariat to report to the Conference of the Parties at its third session on its activities related to paragraph 24 of the procedures contained in decision 11/COP.1 and article 23, paragraph 2(c), of the Convention.

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[5] As contained in document ICCD/COP(2)/14/Add.1.

[6] CCD/COP(2)/5.

C. Decision 1/COP.5[7]

Additional procedures or institutional mechanisms to assist in the review of the implementation of the Convention

The Conference of the Parties,

Recalling article 22, paragraph 2 (a), (c), (d) and (h) of the Convention,

Recalling also article 23, paragraph 2 (a), (b) and (c), and article 26 of the Convention,

Further recalling its decision 11/COP.1 on Procedures for the Communication of Information and Review of the Implementation, paragraph 4 of decision 3/COP.4 on Procedures for the Review of the Implementation of the Convention, and paragraph 2 (a) of decision 5/COP.4 on the Programme of Work of the Conference of the Parties,

1. *Decides* to establish a committee for the review of the implementation of the Convention (CRIC) as a subsidiary body of the Conference of the Parties to assist it in regularly reviewing the implementation of the Convention;

2. *Decides also* to adopt the terms of reference of the Committee for the Review of the Implementation of the Convention as contained in the annex to this decision;

3. *Decides further* that the mandate and functions of the Committee as contained in paragraph 1 (b) of the terms of reference shall be subject to renewal at the seventh session of the Conference of the Parties, in the light of lessons learned during the overall review of the Committee;

4. *Decides furthermore* that the Conference of the Parties shall, no later than its seventh ordinary session, review the terms of reference of the Committee, its operations and its schedule of meetings, with a view to making any necessary modification, including reconsidering the need for and modalities of the Committee as a subsidiary body;

5. *Invites* Parties to submit written proposals to the secretariat no later than January 2003 on criteria against which the Committee will be reviewed, with a view to determining such criteria at the sixth session of the Conference of the Parties;

6. *Decides* that the first session of the CRIC, to be held in November 2002, shall review updates to reports already available and/or new reports from all regions, to be submitted no later than 30 April 2002, and that the second session of the CRIC, to be held during the sixth session of

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[7] As contained in document ICCD/COP(5)/11/Add.1.

the Conference of the Parties, shall carry out its functions pursuant to paragraph 1 (b) of the terms of reference. After the sixth session of the Conference of the Parties, the review shall be conducted in accordance with the timetable outlined in paragraphs 13 to 15 of decision 11/COP.1. The review shall focus on specific thematic issues identified by Parties.

7. *Requests* the secretariat, in accordance with the terms of reference, to compile, synthesize and provide a preliminary analysis of the reports submitted by Parties and observers and the reports on regional inputs, along thematic priorities identified by the Parties for submission to the CRIC;

8. *Requests* the Executive Secretary to facilitate the preparation of regional inputs for the review process, in cooperation with interested Parties, international, regional and subregional organizations and coordinating mechanisms, and representatives of civil society;

9. *Invites* Parties, in particular developed country Parties and interested organizations as well as private sector and non-governmental organizations, to contribute financially to the organization of regional meetings, including the preparation of national reports, and to the participation of representatives of affected developing country Parties, in particular the least developed among them, with a view to facilitating the preparation of regional inputs for the review process;

10. *Decides* that the key thematic topics for the review, up to and including the seventh session of the Conference of the Parties, shall be the following:

- participatory processes involving civil society, non-governmental organizations and community-based organizations;
- legislative and institutional frameworks or arrangements;
- resource mobilization and coordination, both domestic and international, including conclusions of partnership agreements;
- linkages and synergies with other environmental conventions and, as appropriate, with national development strategies;
- measures for the rehabilitation of degraded land and for early warning systems for mitigating the effects of drought;
- drought and desertification monitoring and assessment;
- access by affected country Parties, particularly affected developing country Parties, to appropriate technology, knowledge and know-how;

11. *Requests* the secretariat to circulate in all official languages at least six weeks prior to the first session of the Committee appropriate documentation for that session.

Annex

TERMS OF REFERENCE OF THE COMMITTEE FOR THE REVIEW OF THE IMPLEMENTATION OF THE CONVENTION

A. Mandate and functions

1. The Committee for the Review of the Implementation of the Convention (CRIC) shall assist the Conference of the Parties in regularly reviewing the implementation of the Convention, in the light of the experience gained at the national, subregional, regional and international levels, and shall facilitate the exchange of information on measures adopted by the Parties, pursuant to article 26 of the Convention, in order to draw conclusions and to propose to the Conference of the Parties concrete recommendations on further steps in the implementation of the Convention. Particularly, it shall:

(a) At sessions held between ordinary sessions of the Conference of the Parties:

(i) Use as the basis of the review of implementation by the Conference of the Parties, the reports by Parties, together with advice and information provided by the Committee on Science and Technology and the Global Mechanism consistent with their respective mandates, and such other reports as the Conference of the Parties may call for;

(ii) Identify and analyse the efficiency and effectiveness of measures taken by the Parties and stakeholders with a view to focusing on activities that meet the needs of people living in affected areas and enhancing measures to combat desertification and/or mitigate the effects of drought;

(iii) Identify and synthesize best practices, experiences and lessons learned;

(iv) Identify necessary adjustments to the elaboration process and the implementation of action programmes;

(v) Identify emerging and challenging issues deriving from implementation;

(vi) Consider information on the mobilization and use of financial resources and other support with a view to enhancing their effectiveness and efficiency towards the achievements of the objectives of the Convention, including information from the Global Mechanism;

(vii) Identify ways and means of improving procedures for communication of information, as well as for the quality and

format of reports to be submitted to the Conference of the Parties;

(viii) Identify ways and means of promoting know-how and technology transfer, in particular from the developed countries to the developing countries, for combating desertification and/or mitigating the effects of drought;

(ix) Identify ways and means of promoting experience sharing and information exchange among Parties and all other interested institutions and organizations;

(x) Draw conclusions and propose concrete recommendations on further steps in the implementation of the Convention;

(xi) Submit a comprehensive report to the Conference of the Parties in the light of its programme of work, including conclusions and recommendations;

(b) At sessions held during the COP:

(i) Consider the comprehensive report of the inter-sessional session;

(ii) Review regularly the policies, operational modalities and activities of the Global Mechanism;

(iii) Review regularly reports prepared by the secretariat on the execution of its functions;

(iv) Consider reports on the collaboration with the Global Environment Facility.

with a view to elaborating draft decisions, where necessary, for consideration and, as appropriate, adoption by the Conference of the Parties;

B. Composition

2. The Committee shall be composed of all Parties to the Convention.

3. Any other body or agency, whether national or international, governmental or non-governmental, which wishes to be represented at a session of the Committee as an observer may be admitted unless one third of the Parties present at the session object.

4. The Committee shall elect its own four Vice-Chairpersons, of whom one shall act as Rapporteur. Together with the Chairperson, elected by the Conference of the Parties in accordance with rule 31 of the rules of procedure, they shall constitute the Bureau. The Chairperson and the Vice-Chairpersons shall be elected with due regard to the need to ensure

equitable geographical distribution and adequate representation of affected country Parties, particularly those in Africa, while not neglecting affected country Parties in other regions, and shall not serve for more than two consecutive terms. The Chairperson of the CRIC shall be a member of the Bureau of the Conference of the Parties.

C. Frequency of sessions and organization of work

5. Sessions of the Committee shall be held during and once between each of the ordinary sessions of the Conference of the Parties.

6. Sessions of the Committee held between ordinary sessions of the Conference of the Parties shall not be longer than two weeks.

7. Extraordinary sessions of the Committee shall be held at such times as may be decided by the Conference of the Parties.

8. Sessions of the Committee shall be public, unless the Committee decides otherwise.

9. The programme of work of the Committee, which should include estimates regarding financial implications, shall be approved by the Conference of the Parties. At the beginning of each of its sessions, the Committee shall adopt its agenda and organization of work for the session.

10. In agreement with the Chairperson of the Committee, the secretariat shall prepare the provisional agenda of each session.

D. Nature of the review and methodology

11. The review shall be open and transparent, inclusive, flexible and facilitative, as well as effective in terms of the use of financial, technological and human resources. It shall be an experience-sharing and lessons-learning exercise which will identify successes, obstacles and difficulties with a view to improving the implementation of the Convention, but it will not be an assessment of compliance.

12. The review shall be conducted thematically with due regard to geographic regions and subregions.

E. The review process

13. The review process shall examine, *inter alia*, reports submitted by the Parties, information and advice from the Global Mechanism and the Committee on Science and Technology, as well as reports by relevant organs, funds and programmes of the United Nations system and other intergovernmental and non-governmental organizations and such other reports as the Conference of the Parties may call for.

14. National reports shall be submitted to the secretariat for compilation, synthesis and preliminary analysis. Parties shall have an

opportunity to review in reasonable time the portions of such documents prepared by the secretariat that refer to them by name.

15. The secretariat should, to the extent possible, take advantage of its ongoing work and activities at the regional and/or subregional levels to disseminate information stemming from its preliminary analysis and seek to obtain feedback with a view to enriching the Committee's work base, while favouring a bottom-up and participatory approach.

16. The secretariat shall compile a synthesis report for consideration by the Committee. The regional and subregional feedback referred to in paragraph 15 shall be annexed to the secretariat's report. The CST, including through the use of its Group of Experts, and the Global Mechanism shall be invited to provide to the CRIC advice and information on the basis of the report by the secretariat.

F. Outcome

17. The Committee shall report on its work at each ordinary session of the Conference of the Parties.

18. The report of the Committee shall be submitted to the Conference of the Parties for its consideration and any decision the Conference may wish to take on the implementation of the Convention.

G. Transparency of work

19. All the reports and the results of the work of the Committee shall be in the public domain.

Annex II

PROPOSED PROCESS AND WORK PLAN

(i) **November 2001**

NFPs/NCBs will undertake consultations among line ministries and other key actors/stakeholders to explore the process, activities and time frame for national report preparation in a manner suitable for respective countries.

(ii) **November/December 2001**

NFPs/NCBs will prepare in collaboration with other stakeholders an outline of national reports and a preliminary consolidation of updated information on the status of desertification/land degradation and on activities, particularly recent development in the past two years at the local and national level.

(iii) **January 2002**

NFPs/NCBs will finalize a draft national report.

(iv) **February 2002**

NFPs/NCBs will organize a national workshop to review and revise a draft national report on the UNCCD. Representatives from a variety of stakeholders' groups will attend the workshop, including relevant ministries, government agencies, NGOs, CBOs, academic institutions, local authorities, the private sector and the media. Participants should be selected according to their active involvement in the NAP process.

(v) **March 2002**

NFPs/NCBs will revise draft national reports taking into account the comments and suggestions made at the workshop held earlier. NFPs/NCBs will organize a consultation with line ministries and experts to review the revised draft national reports for finalization.

(vi) **April 2002**

NFPs/NCBs shall seek administrative clearance of the finalized national reports for their final submission to the UNCCD secretariat where necessary.

(vii) **30 April 2002**

This is the required deadline for submission of national reports to the UNCCD secretariat, but for expeditious processing preferably by 25 April 2002.

(viii) **June/July 2002**

The fifth regional meeting of UNCCD national focal points will be held, where the regional input will be finalized in accordance with paragraph 9 of decision 1/COP.5.

(ix) **July/August 2002**
The UNCCD secretariat will prepare a synthesis document for review of the national reports at CRIC.

(x) **September/October 2002**
Necessary documents will be distributed to NFPs/NCBs for their advanced review.

(xi) **November 2002**
Convening of the CRIC.

Annex III

TENTATIVE FORMAT OF UNCCD PROFILE SYSTEM FOR NATIONAL REPORTS

The following information may be collected by the UNCCD into a database of UNCCD country profiles for national reports. The database will be maintained in close collaboration with national focal points, and subregional and regional organizations with the purpose of developing an information tool to assist policy making and management. It will also be used to facilitate the preparation of future reports and to meet other networking needs at the national as well as international levels.

Although the database could be expanded in the future to include additional substantive or institutional data, at this point it is necessary to concentrate on data that can easily be transmitted and integrated given the limited resources and time available to the secretariat.

Basic data items for each national profile will include:

I. INFORMATION ON PROCESS AND INSTITUTIONAL DEVELOPMENT

(a) **UNCCD ratification and entry into force** (ratif/EIF): dates and declarations

(b) **UNCCD national coordination body** (NCB): name of the organization, institutional framework, address and web site

(c) **UNCCD national focal point** (NFP): name of person in charge, title, address, telephone, fax and e-mail address

(d) **UNCCD national events** (awareness seminars and other relevant forums for the formulation and adoption of NAPs): date, venue and report and documents available (title, date, language and where to request a copy)

(e) **UNCCD national action programme** (NAP): objectives, titles of policies and measures, list of projects and activities proposed, list of multilateral and bilateral donor agencies involved

(f) **UNCCD national report** (NR): number of report (COP 3, etc), date of submission, availability in hard copy and electronic format (CD-ROM, web, diskette or e-mail), future reports, and status of preparation of the forthcoming national reports

(g) Other relevant **organizations**, classified as government or public agencies, academic institutions, NGOs, CBOs, the private sector, regional and local authorities and the media, starting with a basic list and gradually integrating other data: focal points, addresses, telephone, fax, e-mail addresses, web sites, membership, etc; indication as to whether they participate in the national UNCCD committee or council

(h) Other relevant **strategies, plans or programmes** in fields such as national development, agriculture, energy, environment, education, health, trade, poverty reduction, migration, biodiversity, climate change, marine and coastal management, forests, freshwater supplies; indication as to whether any of these areas have similar national reporting processes, and in such cases identifying the focal point

(i) Relevant **information systems** available in the country: basic description of system most relevant to UNCCD (for managerial and institutional as well as technical purposes), list of other national information systems with institutional/managerial and scientific/technical/geographical data and their web sites, and participation in international information systems

(j) Relevant national **training institutions and activities**

II. INFORMATION ON SUBSTANTIVE PARAMETERS TO COMBAT DESERTIFICATION AND MITIGATE THE EFFECTS OF DROUGHT (Format yet to be developed)

(a) Synopsis of information on the biophysical status of desertification and drought in order to compare key parameters over a longer period

(b) Synopsis of information on the socio-economic conditions relating to desertification and drought in order to compare key parameters over a longer period

The UNCCD national profile system will include links to the UNCCD database of COP participants and will gradually be linked to other databases containing relevant national data in various international organizations such as: United Nations Department for Economic and Social Affairs (UN/DESA) database on national reports on Agenda 21, databases of UNDP, UNEP, the Food and Agriculture Organization of the United Nations (FAO), the World Bank, World Meteorological Organization (WMO), United Nations Educational, Scientific and Cultural Organization (UNESCO), SID-OSS/UNITAR, Organization for Economic Cooperation and Development (OECD), European Community (EC), the World Conservation Union (IUCN), and other relevant NGOs.

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